

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Larry Neil Lewis et al.

Group Art Unit:

Serial No.:

Examiner:

Filed:

For ELECTRO-ACTIVE DEVICE HAVING
METAL-CONTAINING LAYER

INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37CFR 1.97(b)**
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**
[On or before issue fee payment] *\$180.00*

ATTN: BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

Date of Deposit

Type or Print Name

Signature

"EXPRESS MAIL" MAILING
LABEL NUMBER
EV 300766798US

This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below;
- ☐ 9 ^{or} The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

An original and two (2) copies of this document are enclosed.

October 17, 2003

Date

General Electric Company
CRD Patent Docket Rm 4A59
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Respectfully submitted,



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| FORM PTO-1449 (REV. 7-80) | | | US. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | | ATTY. DOCKET NO. 132913-1 | | SERIAL NO. | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT <u>LIST OF ITEMS</u> | | | | | | Applicant: Larry Neil Lewis et al. | | | |
| | | | | | | Filing Date | | Group | |
| U.S. PATENT DOCUMENTS | | | | | | | | | |
| *EXAMINER INITIAL | DOCUMENT NUMBER | | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE | | |
| | A1 | 4,681,963 | 7/21/87 | Lewis | | | | | |
| | A2 | 4,705,765 | 11/10/87 | Lewis | | | | | |
| | A3 | 6,515,314 | 2/4/03 | Duggal et al. | | | | | |
| | A4 | 5,696,384 | 12/9/97 | Ogi et al. | | | | | |
| | A5 | 5,789,027 | 8/4/98 | Watkins et al. | | | | | |
| | A6 | 5,783,716 | 7/21/98 | Baum et al. | | | | | |
| | A7 | 6,204,178 | 3/20/01 | Marsh | | | | | |
| | A8 | 6,387,802 | 5/14/02 | Marsh | | | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | | | | |
| | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION YES NO | | |
| | B1 | | | | | | | | |
| | B2 | | | | | | | | |
| | B3 | | | | | | | | |
| OTHER INFORMATION (Including Author, Title, Date, Pertinent Pages, etc.) | | | | | | | | | |
| | C1 | NH Dryden et al., "Chemical Vapor Deposition of Platinum: New Precursors and Their Properties", American Chemical Society, Chem. Material, Volume 3, pp 677-685, 1991. | | | | | | | |
| | C2 | J-C Hierso et al., "Platinum and Palladium Films Obtained by Low-Temperature MOCVD for the Formation of Small Particles on Divided Supports as Catalytic Materials", Chem. Material, Volume 12, pp. 390-399, 2000. | | | | | | | |
| | C3 | Z. Xue et al., Characterization of (Methylcyclopentadienyl)trimethylplatinum and Low-Temperature Organometallic Chemical Vapor Deposition of Platinum Metal", J. Am. Chem. Soc, Volume 111, pp. 8779-8784, 1989. | | | | | | | |
| | C4 | LN Lewis et al., "Mechanism of Formation of Platinum (O) Complexes Containing Silicon - Vinyl Ligands", Organometallics, Volume 14, pp. 2202-2213, 1995. | | | | | | | |
| | C5 | R. Kumar et al, "New Precursors for Chemical Vapour Deposition of Platinum and the Hydrogen Effect on CVD", Polyhedron, Volume 8, No. 4, pp. 551-553, 1989. | | | | | | | |
| | C6 | HD Kaesz et al., Low-Temperature Organometallic Chemical Vapor Deposition of Transition Metals", Mat. Res. Soc. Symp. Proc., Volume 131, pp. 395-401, 1989. | | | | | | | |
| | C7 | Copinging US Application Serial No. 10/316,317 (Docket 125159-1), filed December 12, 2002, by James Lawrence Spivack et al., entitled "STRUCTURED DYE SENSITIZED SOLAR CELL". | | | | | | | |
| | C8 | Copinging US Application Serial No. 10/316,318 (Docket 125120-1), filed December 12, 2002, by James Lawrence Spivack et al., entitled "DYE SENSITIZED SOLAR CELLS HAVING FOIL ELECTRODES". | | | | | | | |
| | C9 | Copinging US Application Serial No. 10/425,901 (Docket 120198-1-1), filed April 29, 2003, by Anil Raj Duggal et al., entitled "LIGHT SOURCE WITH ORGANIC LAYER AND PHOTOLUMINESCENT LAYER". | | | | | | | |
| EXAMINER | | | | | DATE CONSIDERED | | | | |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | | | | |